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Application Number	09/225,537
Filing Date	1/4/99
First Named Inventor	Philip Myron Ginsberg
Group Art Unit	2787
Examiner Name	
Attorney Docket Number	1453.001C

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Sheet 1 of 1

Attorney Docket Number	1453.001C
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OCT 07 1999

[illegible]

Group 2700

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Examiner
Signature

Date Considered

5/4/0

¹ Unique citation designation number. ² See attached Kinds of U.S. Patent Documents. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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Substitute for form 1449B/PTO

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**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet

of

Application Number

09/225,537

Filing Date

1/4/99

First Named Inventor

Philip Myron Ginsberg

Group Art Unit

2787

Examiner Name

Attorney Docket Number

1453.001C

RECEIVED**OCT 07 1999****OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	Group 2700
A		D. LEINWEBER, 'Knowledge-Based Systems for Financial Applications' 1988, p. 18-31, vol. 3 no. 3, I.E.E.E. Expert, New York, NY	
G		T. M. PATEL and G. E. KAISER, 'The SPLENDORS Real Time Portfolio Management System', Oct. 1991, p. 73-78, Proceedings of the First Int'l Conference of Artificial Intelligence on Wall Street, NY, NY	
G		L. KOFLOWITZ, 'Bond Boom Yields High Interest In Fixed-Income Systems', Sept. 1989, p. 40-56, vol. 6 no. 12, Wall Street Computer Review, US	
G		C. DIALYNAS, 'The Active Decisions In The Selection Of Passive Management And Performance Bogeys', 1987, p. 19-33, Advances in Bond Analysis & Portfolio Strategies, IL, US	
A		Software To Control Fixed Income Portfolios', Feb. 1986, p. 46-52, vol. 3 no. 5, Wall Street Computer Review, US	
G		H. BANNISTER, 'Portfolio Optimisation in the Money Market', 8-11 Sept. 1987, p. 558-577, Australian Computer Conference, Melbourne, Victoria, Australia	
G		H. M. BYRAMJI, 'Software Packages Assist Diverse Needs of Bond Portfolio Managers', June 1985, p. 61-65, vol. 2 no. 8, Wall Street Computer Review, US	
G		P. J. BRENNAN, 'Software Advance Distills 'Order' From Market 'Chaos'', March 1989, p. 14, 16, 63-64, vol. 6 no. 6, Wall Street Computer Review, US	
G		M. ASNER, 'Software Stockpickers', Sept. 1984, p. 138-142, vol. 57 no. 9, Canadian Business, CA	

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Considered

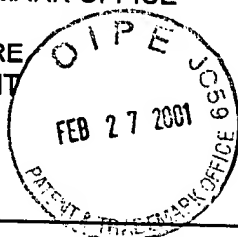
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FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.
CF/021 CON CPAAPPLICATION NO.
09/225,537INFORMATION DISCLOSURE
STATEMENT BY APPLICANTAPPLICANT
Philip M. GinsbergFILING DATE
January 4, 1999
CPA Filed July 31, 2000GROUP ART UNIT
2164

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
GA	6,088,685	07/11/2000	Kiron et al.	705	36	RECEIVED
GA	5,806,048	09/08/1998	Kiron et al.	705	36	PAR 01 2001
						Technology Center 2100

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
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OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

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